



In Place of FORM PTO-1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT**

Serial No.: 10/033,092  
Applicants: Richard E. Smalley et al.  
Filing Date: December 28, 2001  
Group: 1754  
Atty. Docket No.: 11321-P012USD4

Reference Designation

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
<u>SJD</u> AAA	5,698,175	12/16/1997	Hiura et al.	423	447.1	
____ ABA						
____ ACA						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
____ ADA						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner  
Initial  
SJD AEA

AJAYAN et al., "Opening carbon nanotubes with oxygen and implications for filing," *Nature*, Volume 362, pp. 522-525 (April 8, 1993).

Examiner:

Don Adams

Date Considered:

12/04

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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11321-P012USD4 01/06/2003

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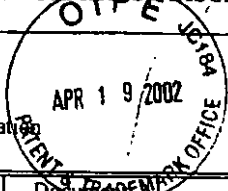
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**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ABA	EP 1 176 234 A2	12/05/1993	European			

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner Initial	
ACA	LI, et al., "Large-Scale Synthesis of Aligned Carbon Nanotubes," <i>Science</i> , Volume 274, December 6, 1996, pp. 1701-1703.
ADA	LIU, et al., "Fullerene Pipes," <i>Science</i> , Volume 280, May 22, 1998, pp. 1253-1256.
AEA	THESS, et al., "Crystalline Ropes of Metallic Carbon Nanotubes," <i>Science</i> , Volume 273, July 26, 1996, pp. 483-487.
AFA	TOHJI, et al., "Purifying single-walled nanotubes," <i>Nature</i> , Volume 383, October 24, 1996, pp. 679.
AGA	TOHJI, et al., "Purification Procedure for Single-Walled Nanotubes," <i>J. Phys. Chem. B.</i> , Volume 101, No. 11, 1997, pp. 1974-1978.
AHA	AJAYAN, et al., "Nanometre-size tubes of carbon," <i>Rep. Prog. Phys.</i> , Volume 60, 1997, pp. 1025-1062.
AIA	FISHBINE, "Carbon Nanotube Alignment and Manipulation Using Electrostatic Fields," <i>Fullerene Science &amp; Technology</i> , Volume 4(1), 1996, pp. 87-100.
AJA	AJAYAN, et al., "Aligned Carbon Nanotube Arrays Formed by Cutting a Polymer Resin-Nanotube Composite," <i>Science</i> , Volume 265, August 26, 1994, pp. 1212-1214.
AKA	WANG, et al., "Properties of Buckytubes and Derivatives," <i>Carbon</i> , Volume 33, No. 7, 1995, pp. 949-958.
ALA	SEN, et al., "Structures and Images of Novel Derivatives of Carbon Nanotubes, Fullerenes and Related New Carbon Forms," <i>Fullerene Science and Technology</i> , Volume 5(3), 1997, pp. 489-502.
AMA	DRAVID, et al., "Buckytubes and Derivatives: Their Growth and Implications for Buckyball Formation," <i>Science</i> , Volume 259, March 12, 1993, pp. 1601-1604.
ANA	SMALLEY, "From dopyballs to nanowires," <i>Materials Science and Engineering</i> , Volume B19, 1993, pp. 1-7.
AOA	CHEN, "Growth and Properties of Carbon Nanotubes," <i>Thesis for the degree Master of Science, Rice University</i> , Houston, Texas, May 1995.
APA	RINZLER, et al., "Field Emission and Growth of Fullerene Nanotubes," <i>Presented at the Fall, 1994 MRS Meeting</i> , November 28, 1994, Boston, submitted for MRS proceedings, Volume 359.
AQA	GAMALY, et al., "Mechanism of carbon nanotube formation in the arc discharge," <i>Physical Review B</i> , Volume 52, Number 3, July 15, 1995-I, pp. 2083-2089.
ARA	GE, et al., "Scanning tunneling microscopy of single-shell nanotubes of carbon," <i>Appl. Phys. Lett.</i> , Volume 65(18), October 31, 1994, pp. 2284-2286.

Examiner:

*H. Adickes*

Date Considered:

6/2/04

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